

31058 U.S. PTO
03/13/01

03-15-01

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PTO/SB/05 (11-00)

Approved for use through 10/31/2002. CMB 0651-0030
Patent and Trademark Office, U.S. DEPARTMENT OF COMMERCE

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UTILITY PATENT APPLICATION TRANSMITTAL

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No	678-1192
First Inventor	Fells
Title	Adjustable Dispersion Compensator, Adjustable Optical Fiber
Express Mail Label No	EL 761 853 001

APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents

ADDRESS TO

Assistant Commissioner for Patents
Box Patent Application
Washington, D.C. 20231

- ☒ Fee Transmittal Form (e.g., PTO/SB/17)
(Submit an original, and a duplicate for fee processing)
- ☐ Applicant claims small entity status
See 37 CFR 1.27
- ☒ Specification [Total Pages 64]
(preferred arrangement set forth below)
 - Descriptive title of the invention
 - Cross Reference to Related Applications
 - Statement Regarding Fed sponsored R & D
 - Reference to sequence listing, a table, or a computer program listing appendix
 - Background of the Invention
 - Brief Summary of the Invention
 - Brief Description of the Drawings (if filed)
 - Detailed Description
 - Claim(s)
 - Abstract of the Disclosure
- ☒ Drawing(s) (35 U.S.C. 113) [Total Sheets 9]
- Oath or Declaration [Total Pages 4]
 - ☒ Newly executed (original or copy)
 - ☐ Copy from a prior application (37 CFR 1.63(d))
(for continuation/divisional with Box 18 completed)
 - ☐ DELETION OF INVENTOR(S)
Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.63(b)
- ☐ Application Data Sheet See 37 CFR 1.76

- ☐ CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)
- Nucleotide and/or Amino Acid Sequence Submission
(if applicable, all necessary)
 - ☐ Computer Readable Form (CRF)
 - Specification Sequence Listing on.
 - ☐ CD-ROM or CD-R (2 copies), or
 - ☐ paper
 - ☐ Statements verifying identity of above copies

ACCOMPANYING APPLICATION PARTS

- ☐ Assignment Papers (cover sheet & document(s))
- ☐ 37 CFR 3.73(b) Statement [Power of Attorney (when there is an assignee)]
- ☐ English Translation Document (if applicable)
- ☐ Information Disclosure Statement (IDS)/PTO-1449 [Copies of IDS Citations]
- ☐ Preliminary Amendment
- ☒ Return Receipt Postcard (MPEP 503)
(Should be specifically itemized)
- ☐ Certified Copy of Priority Document(s)
(if foreign priority is claimed)
- ☐ Request and Certification under 35 U.S.C. 122(b)(2)(B)(i) Applicant must attach form PTO/SB/35 or its equivalent
- ☐ Other

18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application No. /

Prior application information Examiner Group / Art Unit

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

19. CORRESPONDENCE ADDRESS

☐ Customer Number or Bar Code Label or ☒ Correspondence address below

(Insert Customer No. or Attach bar code label here)

Name	William M. Lee, Jr.				
	Lee, Mann, Smith, McWilliams, Sweeney & Ohlson				
Address	P.O. Box 2786				
City	Chicago	State	Illinois	Zip Code	60690-2786
Country	U.S.A.	Telephone	(312) 368-1300	Fax	(312) 368-0034

Name (Print/Type)	William M. Lee, Jr.	Registration No. (Attorney/Agent)	26,935
Signature	<i>William M. Lee, Jr.</i>	Date	March 13, 2001

Burden Hour Statement This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Box Patent Application, Washington, DC 20231.

03050602 034301

FEE TRANSMITTAL for FY 2001

Patent fees are subject to annual revision

Complete if Known

TOTAL AMOUNT OF PAYMENT

\$2,090.00

Application Number

Filing Date

First Named Inventor

Fells

Examiner Name

Group Art Unit

Attorney Docket No

678-1192

METHOD OF PAYMENT

1. ☒ The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to

Deposit/ Account Number **12-0913**

Deposit/ Account Name **Lee, Mann, Smith, McWilliams,...**

- ☒ Charge Any Additional Fee Required Under 37 CFR §§ 1.16 and 1.17

- ☐ Applicant claims small entity status See 37 CFR § 1.27

2. ☒ Payment Enclosed

- ☒ Check ☐ Credit card ☐ Money Order ☐ Other

FEE CALCULATION

1. BASIC FILING FEE

Large Entity	Small Entity	Fee	Fee	Fee Description	Fee Paid
Code (\$)	Code (\$)				
101 710 201 355		Utility filing fee			710.00
106 320 206 160		Design filing fee			
107 490 207 245		Plant filing fee			
108 710 208 355		Reissue filing fee			
114 150 214 75		Provisional filing fee			
SUBTOTAL (1)					710.00

2. EXTRA CLAIM FEES

Extra Claims	Fee from below	Fee Paid
Total Claims 70 - 20** = 50 X 18.00 = 900.00		
Independent Claims 9 - 3** = 6 X 80.00 = 480.00		
Multiple Dependent		

Large Entity	Small Entity	Fee	Fee	Fee Description
Code (\$)	Code (\$)			
103 18 203 9		Claims in excess of 20		
102 80 202 40		Independent claims in excess of 3		
104 270 204 135		Multiple dependent claim, if not paid		
109 80 209 40		** Reissue independent claims over original patent		
110 18 210 9		** Reissue claims in excess of 20 and over original patent		

SUBTOTAL (2) \$1,380.00

FEE CALCULATION (continued)

3. ADDITIONAL FEES

Large Entity	Small Entity	Fee	Fee	Fee Description	Fee Paid
Code (\$)	Code (\$)				
105 130 205 65		Surcharge - late filing fee or oath			
127 50 227 25		Surcharge - late provisional filing fee or cover sheet			
139 130 139 130		Non - English specification			
147 2,520 147 2,520		For filing a request for <i>ex parte</i> reexamination			
112 920* 112 920*		Requesting publication of SIR prior to Examiner action			
113 1,840* 113 1,840*		Requesting publication of SIR after Examiner action			
115 110 215 55		Extension for reply within first month			
116 390 216 195		Extension for reply within second month			
117 890 217 445		Extension for reply within third month			
118 1,390 218 695		Extension for reply within fourth month			
128 1,890 228 945		Extension for reply within fifth month			
119 310 219 155		Notice of Appeal			
120 310 220 155		Filing a brief in support of an appeal			
121 270 221 135		Request for oral hearing			
138 1,510 138 1,510		Petition to institute a public use proceeding			
140 110 240 55		Petition to revive - unavoidable			
141 1,240 241 620		Petition to revive - unintentional			
142 1,240 242 620		Utility issue fee (or reissue)			
143 440 243 220		Design issue fee			
144 600 244 300		Plant issue fee			
122 130 122 130		Petitions to the Commissioner			
123 50 123 50		Processing fee under 37 CFR § 1.17(q)			
126 180 126 180		Submission of Information Disclosure Statement			
581 40 581 40		Recording each patent assignment per property (times number of properties)			
146 710 246 355		Filing a submission after final rejection (37 CFR § 1.129(a))			
149 710 249 355		For each additional invention to be examined (37 CFR § 1.129(b))			
179 710 279 355		Request for Continued Examination (RCE)			
169 900 169 900		Request for expedited examination of a design application			

Other fee (specify) _____

*Reduced by Basic Filing Fee Paid

SUBTOTAL (3)

SUBMITTED BY

Name (Print/Type) William M. Lee, Jr.
 Signature *William M. Lee, Jr.*

Registration No. (Attorney/Agent) 26,935

Complete (if applicable)

Telephone (312) 368-1300

Date March 13, 2001

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

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Please acknowledge
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enclosed

Fells
Serial No. Not yet assigned
Filed:

Title: Adjustable Dispersion Compensator, Adjustable
Optical Filters, and Control Signals and Strain
Applicators Therefor

1. Utility Patent Application Transmittal
2. Fee Transmittal (in duplicate)
3. 64 pages of specifications
4. 9 sheets of drawings
5. Declaration and Power of Attorney
6. Check No. for \$2,090.00
7. Certificate of Express Mail
8. Return Postcard

DUE DATE (If Any): N/A
DATE SENT: March 13, 2001

"Express Mail" mailing label number

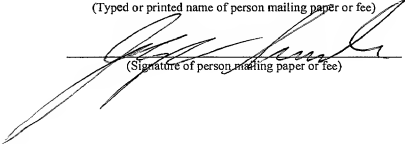
U.S. Post Office Express No. EL 761 853 001 US

Date of Deposit: March 13, 2001

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United States Postal Service "Express Mail Post Office to
Addressee" service under 37 CFR 1.10 on the date indicated above
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Washington, D.C. 20231.

Jorge Galvan

(Typed or printed name of person mailing paper or fee)


(Signature of person mailing paper or fee)